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| Substitute Form PTO-1449 (Modified) | U.S. Department of Commerce Patent and Trademark Office | Attorney's Docket No. 09857-054001 | Application No. 09/758,967 |
| Information Disclosure Statement by Applicant (Use several sheets if necessary) | | Applicant Steven M. Bloom et al. | |
| | | Filing Date January 11, 2001 | Group Art Unit 2164 3628 |

| U.S. Patent Documents | | | | | | | |
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| Examiner Initial | Desig. ID | Document Number | Publication Date | Patentee | Class | Subclass | Filing Date If Appropriate |
| AM | AA | 6,035,287 | | Stallaert et al. | 705 | 37 | 3/7/00 |
| AM | AB | 6,278,983 | | Ball | 705 | 37 | 8/21/01 |
| | AC | | | | | | |
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| Foreign Patent Documents or Published Foreign Patent Applications | | | | | | | |
|---|-----------|-----------------|------------------|--------------------------|-------|----------|--|
| Examiner Initial | Desig. ID | Document Number | Publication Date | Country or Patent Office | Class | Subclass | Translation Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> |
| | AL | | | | | | |
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| Other Documents (include Author, Title, Date, and Place of Publication) | | | | | | | |
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| Examiner Signature <i>Nga Nguyen</i> | Date Considered 6/23/04 |
| EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | |

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| (37 CFR §1.98(b)) | | Filing Date <u>3628</u> | |

| U.S. Patent Documents | | | | | | | |
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| Examiner Initial | Desig. ID | Patent Number | Issue Date | Patentee | Class | Subclass | Filing Date If Appropriate |
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| Foreign Patent Documents or Published Foreign Patent Applications | | | | | | | |
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| Examiner Initial | Desig. ID | Document Number | Publication Date | Country or Patent Office | Class | Subclass | Translation Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> |
| | AL | | | | | | |
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| <i>MN</i> | AQ | Nasdaq-100 Index Tracking Stock, Brochure 9/15/00 | | | | | |
| <i>MN</i> | AR | Nasdaq -100 Index Tracking Stock Specifications 9/12/00 | | | | | |
| <i>MN</i> | AS | Nasdaq - 100 Index Tracking Stock Prospectus 6/30/2000 | | | | | |
| | AT | Nasdaq - 100 Index Tracking Stock Prospectus 6/30/2000 | | | | | |

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